



Express Mail No.: EL615430970US

Date Mailed: February 2, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re application of:

Rong-Chang LIANG, *et al.*

Appl. No. 10/660,381

Filed: September 10, 2003

For: AN IMPROVED  
ELECTROCHROMIC OR  
ELECTRODEPOSITION IDSLLAY  
AND NOVEL PROCESS FOR  
THEIR MANUFACTURE

Art Unit: 2873

Confirmation No.: 6021

Examiner: Not Yet Assigned

Attorney Docket: 07783.0080.NPUS00

**ASSERTION OF SMALL ENTITY STATUS**

**ATTN: Mail Stop Missing Parts**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The undersigned attorney asserts that the above-identified application is entitled to the small entity status under 37 CFR § 1.27.

Respectfully submitted,

Albert P. Halluin, Reg. No. 25,227  
Viola T. Kung, Reg. No. 41,131

Date: February 2, 2004

HOWREY SIMON ARNOLD & WHITE, LLP  
Box No. 34  
301 Ravenswood Avenue  
Menlo Park, CA 94025  
Tel: (650) 463-8109  
Tel: (650) 463-8181



**COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

Docket Number: 26822-0080

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled AN IMPROVED ELECTROCHROMIC OR ELECTRODEPOSITION DISPLAY AND NOVEL PROCESS FOR THEIR MANUFACTURE, the specification of which is attached hereto OR:

was filed on SEPTEMBER 10, 2003 ;  
as United States Application Number or PCT International Application Number 10/660,381 ; and  
was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

**PRIOR FOREIGN APPLICATION(S)**

Application No.	Country	(Day/Month/Year/Filed)	Priority Claimed
			<u>Yes</u> <u>No</u>
			<u>Yes</u> <u>No</u>

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

Application No.	Filing Date
60/409,833	SEPTEMBER 10, 2002

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or under §365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. §112. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

Application No.	Filing Date	(Status – patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

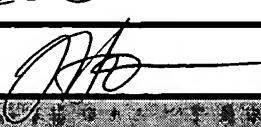
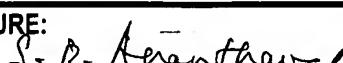
**CUSTOMER NO. 25213**

Send Correspondence to:

**CUSTOMER NO. 25213**

Direct Telephone Calls to: **(650) 324-7028 (SAM L. NGUYEN)**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR: RONG-CHANG LIANG	CITIZENSHIP: USA
RESIDENCE: 20142 PACIFICA DRIVE, CUPERTINO, CALIFORNIA 95014 USA	DATE: <u>11/12/03</u>
POST OFFICE ADDRESS: SAME AS ABOVE	INVENTOR'S SIGNATURE: 
 <hr/> 	
FULL NAME OF SECOND INVENTOR: JACK HOU	CITIZENSHIP: USA
RESIDENCE: 1108 SUNRISE DRIVE, FREMONT, CALIFORNIA 94539 USA	DATE: <u>10/17/2003</u>
POST OFFICE ADDRESS: SAME AS ABOVE	INVENTOR'S SIGNATURE: 
 <hr/> 	
FULL NAME OF THIRD INVENTOR: SUNDARAVEL P. ANANTHAVEL	CITIZENSHIP: INDIA
RESIDENCE: 3112 EL PORTAL, ALAMEDA, CALIFORNIA 94502 USA	DATE: <u>10/17/03</u>
POST OFFICE ADDRESS: SAME AS ABOVE	INVENTOR'S SIGNATURE: 

(Supply similar information and signature for subsequent joint inventors, if any)



**POWER OF ATTORNEY BY ASSIGNEE TO EXCLUSION OF INVENTOR**  
**UNDER 37 C.F.R. § 3.71 WITH REVOCATION OF PRIOR POWERS**

The undersigned ASSIGNEE of the entire interest in:

U.S. Patent No. \_\_\_\_\_  
 U.S. application no. 10/660,381, filed on SEPTEMBER 10, 2003

hereby appoints the practitioners at Customer Number 25213 as its attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and hereby revokes all prior powers of attorney; said appointment to be to the exclusion of the inventors and the inventors' attorneys in accordance with the provisions of 37 C.F.R. § 3.71.

The following evidentiary documents establish a chain of title from the original owner to the Assignee:

*(complete one of the following)*

a copy of an Assignment attached hereto, which Assignment has been (or is herewith) forwarded to the Patent and Trademark Office for recording; or  
 the Assignment recorded on \_\_\_\_ at reel \_\_\_, frames \_\_\_\_ - \_\_\_\_.

Pursuant to 37 C.F.R. § 3.73(b) the undersigned Assignee hereby states that evidentiary documents have been reviewed and hereby certifies that, to the best of ASSIGNEE's knowledge and belief, title is in the identified ASSIGNEE.

Direct all correspondence and telephone calls to:

Name	SAM L. NGUYEN (Reg. No. 52,496)					
Address	Heller Ehrman White & McAuliffe LLP					
Address	275 Middlefield Road					
City	Menlo Park	State	California	Zip	94025-3506	Customer No.: 25213
Country	USA	Telephone	(650) 324-7000	Fax	(650) 324-0638	

ASSIGNEE: **SIPIX IMAGING, INC.**

By: R. C. Liang  
 Rong-Chang Liang  
 Vice Chairman & Chief Technology Officer  
 Date: 11/12/03



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231



DECEMBER 10, 2003

PTAS

\*700055896A\*

HELLER EHRMAN WHITE ET AL.  
SAM L. NGUYEN  
275 MIDDLEFIELD ROAD  
MENLO PARK, CA 94025-3506

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/09/2003

REEL/FRAME: 014184/0540  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
LIANG, RONG-CHANG

DOC DATE: 11/12/2003

ASSIGNOR:  
HOU, JACK

DOC DATE: 10/17/2003

ASSIGNOR:  
ANANTHAVEL, SUNDARAVEL P.

DOC DATE: 10/17/2003

ASSIGNEE:  
SIPIX IMAGING INC.  
1075 MONTAGUE EXPRESSWAY  
MILPITAS, CALIFORNIA 95035SERIAL NUMBER: 10660381  
PATENT NUMBER:FILING DATE: 09/10/2003  
ISSUE DATE:

014184/0540 PAGE 2

JEEVON JONES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

12/09/2003  
700055996

FORM PTO-1595

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

1-31-92

## PATENTS ONLY

Patent and Trademark Office

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Rong-Chang Liang, Jack Hou and Sundaravel P. Ananthalvel  
Additional name(s) of conveying party(ies) attached?

 Yes  No

## 3. Nature of conveyance:

Assignment  Merger  
 Security Agreement  Change of Name  
 Other

Execution Date: 11/12/03, 10/17/03 and 10/17/03

## 2. Name and address of receiving party(ies):

Name: SIPIX IMAGING, INC.

Street Address: 1075 Montague Expressway

City/State/Zip: Milpitas, California 95035, USA

Additional name(s) &amp; address(es) attached?

 Yes  No

## 4. Application number(s) or patent number(s): 10/660,381

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s): 10/660,381

B. Patent No.(s):

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sam L. Nguyen

Internal Address:  
Heller Ehrman White & McAuliffe LLP  
275 Middlefield Road  
Menlo Park, CA 94025-3506

## 6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41)..... \$40.00 Enclosed  
 Authorized to be charged to deposit account8. Deposit account number: 08-1641  
(Attorney Docket No.: 26822-0080)

## DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Sam L. Nguyen, Reg. No. 52,496

Name of Person Signing

  
Signature

December 9, 2003

Date

Total number of pages including cover sheet, attachments, and document: [2]

CH \$40.00 081641 10660381

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## PATENTS ONLY

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To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  Rong-Chang Liang, Jack Hou and Sundaravel P. Ananthavel  Additional name(s) of conveying party(ies) attached?  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. Name and address of receiving party(ies):  Name: SIPIX IMAGING, INC.  Street Address: 1075 Montague Expressway  City/State/Zip: Milpitas, California 95035, USA  Additional name(s) & address(es) attached?  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other		
Execution Date: <u>11/12/03, 10/17/03 and 10/17/03</u>		
4. Application number(s) or patent number(s): <u>10/660,381</u>		
If this document is being filed together with a new application, the execution date of the application is:		
A. Patent Application No.(s): <u>10/660,381</u>		B. Patent No.(s):
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <u>Sam L. Nguyen</u>  Internal Address: <u>Heller Ehrman White &amp; McAuliffe LLP</u> <u>275 Middlefield Road</u> <u>Menlo Park, CA 94025-3506</u>		6. Total number of applications and patents involved: [1]
		7. Total fee (37 CFR 3.41) ..... <u>\$40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account
		8. Deposit account number: <u>08-1641</u> (Attorney Docket No.: <u>26822-0080</u> )

## DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Sam L. Nguyen, Reg. No. 52,496

Name of Person Signing

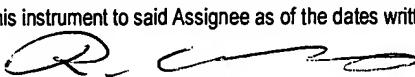
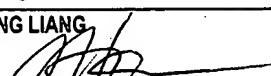
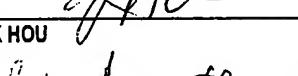

  
Signature

December 9, 2003

Date

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ASSIGNMENT OF APPLICATION		Docket Number 26822-0080
Whereas, the undersigned:	<b>RONG-CHANG LIANG</b> 20142 PACIFICA DRIVE CUPERTINO, CALIFORNIA 95014 USA	<b>JACK HOU</b> 1108 SUNRISE DRIVE FREMONT, CALIFORNIA 94539 USA
<b>SUNDARAVEL P. ANANTHAVEL</b> 3112 EL PORTAL ALAMEDA, CALIFORNIA 94502 USA		
hereinafter termed "Inventors", have invented certain new and useful improvements in <b>AN IMPROVED ELECTROCHROMIC OR ELECTRODEPOSITION DISPLAY AND NOVEL PROCESS FOR THEIR MANUFACTURE</b>		
<p><input checked="" type="checkbox"/> for which an application for United States Patent was filed on <b>SEPTEMBER 10, 2003</b>, Application No. <b>10/660,381</b></p> <p><input type="checkbox"/> for which an application for a United States Patent was executed on _____, and</p>		
<p>WHEREAS, <b>SIPIX IMAGING, INC.</b>, a corporation having a place of business at <b>1075 MONTAGUE EXPRESSWAY, MILPITAS, CALIFORNIA 95035 USA</b>, (hereinafter termed "Assignee"), is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered jointly or severally by said Inventors (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventor's certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.</p>		
NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:		
<p>1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignee the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any application which is a divisional, substitution, continuation, or continuation-in-part of any of said applications; and (d) in and to each and every reissue or extensions of any of said patents.</p>		
<p>2. Said Inventors hereby jointly and severally covenant and agree to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation reissues and reexaminations, opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Assignee.</p>		
<p>3. The terms and covenants of this assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.</p>		
<p>4. Said Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.</p>		
IN WITNESS WHEREOF, said Inventors have executed and delivered this instrument to said Assignee as of the dates written below:		
Date:	<u>10/17/03</u>	 <b>RONG-CHANG LIANG</b>
Date:	<u>10/17/2003</u>	 <b>JACK HOU</b>
Date:	<u>10/17/03</u>	 <b>SUNDARAVEL P. ANANTHAVEL</b>

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DEC 10 2003

H.E.W.M.-P.A.

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**To:** Name: HELLER EHRLMAN WHITE ET. AL.  
Company: SAM L. NGUYEN  
Fax Number: 16503240638  
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4	Document 1, Batch 273603

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